



PTO/SB/21 (08-00)

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SEP 17 2001

PATENT & TRADEMARK OFFICE  
CSC 3:1

Total Number of Pages in This Submission

5+

Application Number

09/927,409

Filing Date

Aug 10, 2001

First Named Inventor

Hitz

Group Art Unit

NYA

Examiner Name

NYA

Total Number of Pages in This Submission

5+

Attorney Docket Number

103.1019.10

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <input type="checkbox"/> Form SB/08A <input type="checkbox"/> Form SB/08B <input type="checkbox"/> Copies of References <input type="checkbox"/> Return Postcard
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<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual name	Steven A. Swernofsky	Reg. no. 33,040
Signature		
Date	9/13/2001	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: 9-13-01

Type or printed name	Arlette Malhas, Paralegal		
Signature		Date	9-13-01

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22883

PATENT TRADEMARK OFFICE

Attorney Docket 103.1019.10

10

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Hitz

Serial No. 09/927,409

Filed: 8/10/2001

For: File Access Control in a Multi-Protocol  
File Server

Art Unit: NYA

Examiner: NYA

## CERTIFICATE OF MAILING

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Assistant Commissioner for Patents  
Washington, D.C. 20231

on 9-13-01 by Arlette Malhas  
Date Arlette Malhas, Paralegal

**INFORMATION DISCLOSURE STATEMENT**

Honorable Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is submitted under:

- 37 CFR 1.97(b)  
(Within three months of the national application filing or the entry of international application, OR before the mailing date of first Office Action, whichever occurs last.)
- 37 CFR 1.97(c) together with either a:  
 Statement under 37 CFR 1.97(e)  
or  \$180.00 fee set forth in 37 CFR 1.17(p)  
(After the CFR 1.97(b) time period, but before final Office Action or Notice of Allowance, whichever occurs first.)
- 37 CFR 1.97(d) together with a:  
 Statement under 37 CFR 1.97(e)  
and  \$180.00 fee set forth in 37 CFR 1.17(p)  
(After the CFR 1.97(c) time period, but before payment of the Issue fee.)

## List of Documents

Applicant(s) submits herewith:

- Form PTO SB/08A (Information Disclosure Statement by Applicant) listing patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.
- Form PTO SB/08B (Information Disclosure Statement by Applicant) listing non-patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.

## Copies of Documents

- Applicant(s) submits herewith copies of all listed documents.
- Copies of the listed documents are not included with this filing. Copies of these documents were previously submitted in the following related application:

Docket No.: \_\_\_\_\_  
Serial No.: \_\_\_\_\_  
Filed: \_\_\_\_\_

THE EXAMINER IS ENCOURAGED AND EXHORTED TO MAKE HIS OR HER OWN INDEPENDENT EVALUATION OF POSSIBLE RELEVANCE OF THE LISTED DOCUMENTS.

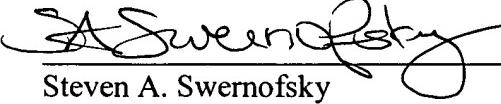
At the present time, Applicant(s) submits that the listed document(s), taken alone or in combination, neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

In the event fees are required, authorization is hereby granted to charge these fees to Deposit Account No. 50-0365.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Date: 9/13/2001

  
\_\_\_\_\_  
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